



UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS
UNITED STATES PATENT AND TRADEMARK OFFICE
WASHINGTON, D.C. 20231
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| APPLICATION NUMBER | FILING RECEIPT DATE | FIRST NAMED APPLICANT | ATTORNEY DOCKET NUMBER |
|--------------------|---------------------|-----------------------|------------------------|
| 09/941,697 | 08/30/2001 | Kazuhiko Hosomi | 520.40590X00 |

CONFIRMATION NO. 6210

020457
ANTONELLI TERRY STOUT AND KRAUS
SUITE 1800
1300 NORTH SEVENTEENTH STREET
ARLINGTON, VA 22209

FORMALITIES LETTER



OC000000006873507

Date Mailed: 10/09/2001



NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

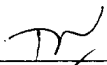
FILED UNDER 37 CFR 1.53(b)

Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The oath or declaration is missing.
A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(l) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- **The balance due by applicant is \$ 130.**

*A copy of this notice **MUST** be returned with the reply.*


Customer Service Center

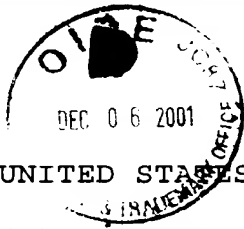
Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

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11 05/105

130.00 OP



520.40590X00

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant(s): HOSOMI, et al

Serial No.: 09/941,697

Filed: August 30, 2001

For: DISPERSION COMPENSATOR AND OPTICAL TRANSMISSION
SYSTEM USING SAME

Attention: APPLICATION DIVISION

REPLY TO OFFICE LETTER

Commissioner for Patents
Washington, D.C. 20231

December 6, 2001

Sir:

In response to the Notice to File Missing Parts of Nonprovisional Application dated October 9, 2001, in connection with the above-identified application, attached hereto is an executed Declaration for Patent Application in compliance with 37 CFR 1.63. In addition, a payment in the amount of \$130.00 to cover the required surcharge for filing the declaration is also attached, in accordance with 37 CFR 1.16.

Please charge any shortages in the fees due in connection with the filing of this paper, including extension of time fees, to Deposit Account No. 01-2135 (520.40590X00) and please credit any excess fees to such deposit account.

Respectfully submitted,

Melvin Kraus
Registration No. 22,466
ANTONELLI, TERRY, STOUT & KRAUS, LLP

MK/gfa
Attachment(s)

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re the Application of

Inventors: Brian LEE, et al.

Application No.: 09/941,689

Filed: August 30, 2001

For: VERTICAL INTERNALLY-CONNECTED TRENCH CELL (V-ICTC)
AND FORMATION METHOD FOR SEMICONDUCTOR MEMORY
DEVICES

INFORMATION DISCLOSURE STATEMENT

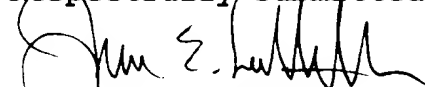
Assistant Commissioner of Patents
Washington, DC 20231

Dear Sir:

Pursuant to Rules 56 and 99, Applicants hereby call the attention of the Patent Office to the art listed on the attached Form PTO 1449. A discussion of this art is provided in the background section of the application.

Applicants present this art so that the Patent Office may, in the first instance, determine any relevancy thereof to the presently claimed invention, see Beckman Instruments, Inc. v. Chemtronics, Inc., 439 F.2d 1369, 1380, 165 USPQ 355, 364 (5th Cir. 1970). Also see Patent Office Rules 104 and 106. Applicants respectfully request that this art be expressly considered during the prosecution of this application and made of record herein and appear among the "References Cited" on any patent to issue herefrom.

Respectfully submitted,



James E. Ledbetter

Registration No. 28,732

Date: September 21, 2001

JEL/spp
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